

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

INVENTORS:

Julio C. Bermudez

Stefano Foresti

Dwayne R. Westenskow

James Agutter

Debra Gondeck-Becker

ASSIGNEE:

University of Utah

SERIAL NUMBER:

m/a 09/457,068

DATE FILED:

12/07/99

TITLE:

METHOD AND APPARATUS FOR MONITORING DYNAMIC

SYSTEMS USING N-DIMENSIONAL REPRESENTATIONS

OF CRITICAL FUNCTIONS

ATTORNEY DOCKET:

4203 P

Assistant Commissioner for Patents Box PATENT APPLICATION Washington, DC 20231

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS

--INDEPENDENT INVENTOR--(37 CFR 1.9(c), (f) and 1.27(b))

Honorable Assistant Commissioner:

As the below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR § 1.9(c) for the purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled METHOD AND APPARATUS FOR MONITORING DYNAMIC SYSTEMS USING N-DIMENSIONAL REPRESENTATIONS OF CRITICAL FUNCTIONS described in a patent application filed herewith.

I have not assigned, granted, conveyed or licensed and I am not under any obligation under contract or law to assign, grant, convey or license any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR § 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR § 1.9(d) or a nonprofit organization under 37 CFR § 1.9(e).

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the due date on which status as a small entity is no longer appropriate. (37 CFR § 1.28(b)).

I hereby declare that all statements made herein are of my own knowledge and are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Signature of Inventor: Name of Inventor: Date:	Julio C. Bermudez 12-20-99
Signature of Inventor: Name of Inventor: Date:	Stefano Foresti 12-20-1999
Signature of Inventor:	Disoepre Mestaleon
Name of Inventor:	Dwayne R. Westenskow
Date:	12/20/99
Signature of Inventor:	
Name of Inventor:	James Agutter
Date:	<u>akoka</u>

Signature of Inventor:

N SBUUL

Name of Inventor:

Debra Gondeck-Becker

Date:

12/9/99

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

INVENTORS:

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VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS

--SMALL BUSINESS CONCERN--(37 CFR 1.9(f) AND 1.27(c))

Honorable Assistant Commissioner:

I hereby declare that I am

	the owner of the small	business concern identified below:
Ø	an official of the small business concern identified below and that I an empowered to act on behalf of said corporation:	
NAM	E OF CONCERN:	University of Utah Research Foundation
ADDF	RESS OF CONCERN:	210 Park Building
	•	Salt Lake City, Utah 84112

I hereby declare that the above organization qualifies as a nonprofit organization as defined in 37 CFR § 1.9(f) and § 1.27(d) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code in that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR § 1.9(e).

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled METHOD AND APPARATUS FOR MONITORING DYNAMIC SYSTEMS USING N-DIMENSIONAL REPRESENTATIONS OF CRITICAL FUNCTIONS by the above-named inventors described in

		the specification filed with this declaration.
		application Serial No. <u>69/457,068</u> , filed <u>12/67/99</u> .
		Patent No, issued
ndividual, co he invention ndependent i which would	oncern o are helo nventor not qua	eld by the above-identified small business concern are not exclusive, each r organization having rights to the invention is listed below and no rights to
	d	no such person, concern or organization exists.
		each such person, concern or organization is listed below:
		NAME: ADDRESS:
		□ INDIVIDUAL □ SMALL BUSINESS ENTITY
		□ NONPROFIT ORGANIZATION

I acknowledge the duty of the small business concern to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the due date on which status as a small entity is no longer appropriate. (37 CFR § 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are

punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

On Behalf of:	University of Utah Research Foundation
NAME OF PERSON SIGNING:	Brent Brown
TITLE OF PERSON SIGNING:	Teehndogy Manager
SIGNATURE: But Br	DATE: 02-11-00



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

INVENTORS:

Julio C. Bermudez

Stefano Foresti

Dwayne R. Westenskow

James Agutter

Debra Gondeck-Becker

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ASSIGNEE:

University of Utah

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VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS

--SMALL BUSINESS CONCERN--(37 CFR 1.9(f) AND 1.27(c))

Honorable Assistant Commissioner:

I hereby declare that I am

	the owner of the small	business concern identified below:
4		business concern identified below and that I am ehalf of said corporation:
NAM	E OF CONCERN:	University of Utah
ADDI	RESS OF CONCERN:	421 Wakara Way, Suite 170
		Salt Lake City, Utah 84108

I hereby declare that the above organization qualifies as a nonprofit organization as defined in 37 CFR § 1.9(f) and § 1.27(d) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code in that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR § 1.9(e).

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled METHOD AND APPARATUS FOR MONITORING DYNAMIC SYSTEMS USING N-DIMENSIONAL REPRESENTATIONS OF CRITICAL FUNCTIONS by the above-named inventors described in

		the specification filed with this declaration.		
	ď	application Se	erial No. <u>09/457, 668</u> , filed <u>12/07/99</u> .	
		Patent No	, issued	
individual, c the invention independent which would	oncern on are held inventor quality	or organization led by any person runder 37 CFR	ve-identified small business concern are not exclusive, each having rights to the invention is listed below and no rights to a, other than the inventor, who could not qualify as an § 1.9(c) if that person made the invention, or by any concern business concern under 37 CFR § 1.9(d), or a nonprofit	
		no such perso	on, concern or organization exists.	
		each such per	son, concern or organization is listed below:	
		NAME: ADDRESS:	University of Utah Research Foundation 210 Park Building Salt Lake City, Utah 84112	
			VIDUAL LL BUSINESS ENTITY PROFIT ORGANIZATION	

I acknowledge the duty of the small business concern to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the due date on which status as a small entity is no longer appropriate. (37 CFR § 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States

Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

On Behalf of:	University of Utah
NAME OF PERSON SIGNING:	Brent Brown
TITLE OF PERSON SIGNING:	Technology Manager
SIGNATURE: But B	DATE: 02-11-00

EJ824240475US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Dwayne R. Westenskow

James Agutter

Debra Gondeck-Becker

ASSIGNEE:

University of Utah

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ATTORNEY DOCKET:

4203 P

Assistant Commissioner for Patents Box PATENT APPLICATION Washington, DC 20231

DECLARATION FOR PATENT APPLICATION

Honorable Assistant Commissioner:

As the below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe that I am an original, first and joint inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled METHOD AND APPARATUS FOR MONITORING DYNAMIC SYSTEMS USING N-DIMENSIONAL REPRESENTATIONS OF CRITICAL FUNCTIONS the specification of which is attached hereto.

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56(a).



I hereby appoint Lloyd W. Sadler (Reg. No. 40,154) and Daniel P. McCarthy (Reg. No. 36,600) as my representatives and attorneys or agents to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith. All communications should be directed to Mr. Sadler at the following address or telephone number:

Lloyd W. Sadler MCCARTHY & SADLER, LC 39 Exchange Place, Suite 100 Salt Lake City, Utah 84111 (801) 323-9399

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of inventor	r:	Julio C. Bermudez	
Residence of invento	r:		
	Address:	133 Third Avenue, Apartment 5	
	City:	Salt Lake City	
	State:	Utah 84103	
	Citizenship:	Argentina	
Post Office Address	of inventor:		
	Address:	133 Third Avenue, Apartment 5	
	City:	Salt Lake City	
	State:	Utah 84103	•
Inventor's Signature:		Julio Binder	
inventor s signature.			
Date:		V12-20-99	
Full name of inventor	r:	Stefano Foresti	
Residence of invento	r:		
	Address:	1432 East Logan Avenue	
	City:	Salt Lake City	
	State:	<u>Utah 84105</u>	
	Citizenship:	Italy	

Post Office Address	of inventor: Address: City: State:	1432 East Logan Avenue Salt Lake City Utah 84105
Inventor's Signature: Date:		Jefono Must' 12-20-1999
Full name of invento	r:	Dwayne R. Westenskow
Residence of invento	r: Address: City: State: Citizenship:	3439 Winesap Road Salt Lake City Utah USA
Post Office Address	of inventor: Address: City: State:	3439 Winesap Road Salt Lake City Utah
Inventor's Signature: Date:		12-20-1999
Full name of inventor:		James Agutter
Residence of invento	r: Address: City: State: Citizenship:	528 N. Wall St. Salt Lake City Utah USA
Post Office Address	of inventor: Address: City: State:	528 N. Wall St. Salt Lake City Utah

Inventor's Signature: Date:		phology
Full name of inventor:		Debra Gondeck-Becker
Residence of inventor	••	
	Address:	300 Central Avenue South
	City:	Wayzata
	State:	Minnesota 55391
	Citizenship:	
Post Office Address of	of inventor:	
	Address:	300 Central Avenue South
	City:	Wayzata
	State:	Minnesota 55391
Inventor's Signature: Date:		DSBull 12/9/99